

1617

PTO/SB/21 (08-00)

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Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/017,568
Filing Date	December 14, 2001
First Named Inventor	Michael B. ZEMEL et al.
Group Art Unit	1617
Examiner Name	Unassigned
Attorney Docket Number	31894-192402

Total Number of Pages in This Submission

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ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Statement Under 37 CFR 3.73(b) and Name Change Certification from the State of Tennessee
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Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Venable P.O. Box 34385 Washington, D.C. 20043-9998	26694 PATENT TRADEMARK OFFICE
Signature		
Date	November 20, 2003	

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

Typed or printed name			
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Revised PTO/SB/81 (10-00)

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Attorney Docket No. 31894-192403

**POWER OF ATTORNEY OR
AUTHORIZATION OF AGENT**

Application Number	10/017,568
Filing Date	December 14, 2001
First Named Inventor	Michael B. ZEMEL et al.
Group Art Unit	1617
Examiner Name	Not Yet Assigned
Attorney Docket Number	31894-192402

I hereby appoint:

☒ Practitioners at Customer Number

26694

Place Customer
Number Bar Code
Label here

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☒ Firm or
Individual Name

VENABLE

Address

P.O. Box 34385

Address

City

Washington

State

D.C.

ZIP

20043-9998

Country

U.S.A.

Telephone

(202) 344-4800

Fax

(202) 344-8300

I am the:

☐ Applicant.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.

Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name

Fred D. Tompkins

Signature

Date

11/14/03

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any Comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PC Docs No. 496775

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+

Revised PTO/SB/82 (10-00)

Approved for use through 10/31/2002. OMB 0651-0035

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Attorney Docket No. 31894-192402

**REVOCATION OF POWER OF
ATTORNEY OR
AUTHORIZATION OF AGENT**

Application Number	10/017,568
Filing Date	December 14, 2001
First Named Inventor	Michael B. ZEMEL et al.
Group Art Unit	1617
Examiner Name	Not Yet Assigned
Attorney Docket Number	31894-192402

I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application:

☐ A Power of Attorney or Authorization of Agent is submitted herewith.

OR

☒ Please change the correspondence address for the above-identified application to:

☒ Customer Number 26694 →

26694
26694

OR

<input checked="" type="checkbox"/> Firm or Individual Name	VENABLE				
Address	P.O. Box 34385				
Address					
City	Washington				
Country	U.S.A.	State	D.C.	ZIP	20043-9998
Telephone	(202) 344-4800	Fax	(202) 344-8300		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Certificate under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name **Fred D. Tompkins**

Signature

Date

11/14/03

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 forms are submitted.

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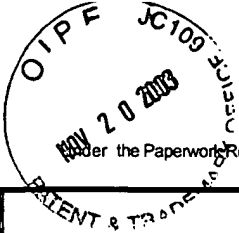
PC Docs No. 496777

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STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: University of Tennessee Research Foundation

Application No./Patent No.: 10/017,568

Filed/Issue Date: December 14, 2001

Entitled: MATERIALS AND METHODS FOR THE TREATMENT OR PREVENTION OF OBESITY

University of Tennessee Research Corporation, a Non-Profit Corporation, which changed its name to the University of Tennessee Research Foundation on April 3, 2003, pursuant to the attached copy of the name change certification from the State of Tennessee

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

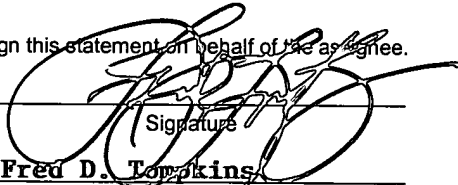
- ☒ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

11/14/03

Date


Signature

Fred D. Tompkins

Typed or printed name

Interim Executive Director

Title

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PATENTS ONLY

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Atty Docket: 31894-192402

To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents or copy thereof.

1. Name of conveying party(ies):

The University of Tennessee Research Corporation

Additional name of conveying party(ies) attached? ☐ Yes ☒ No

2. Name and address of receiving party(ies)

Name: The University of Tennessee Research Foundation

Internal Address: _____

Street Address: 1534 White AvenueSuite 403City: Knoxville State/Country: TNZip: 37996-1527Additional Name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☐ Assignment☐ Merger☐ Security Agreement☒ Change of Name☐ Other _____

Execution Date: _____

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application by the first named inventor is: _____

A. Patent Application No.(s)

10/017,568

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☐ No

5. Name and address of party to whom correspondence concerning this document should be mailed:

26694

PATENT TRADEMARK OFFICE

Name: VENABLEAddress: P.O. Box 34385City: WashingtonState: D.C.Zip: 20043-99986. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41) \$ 40.00☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number:

22-0261

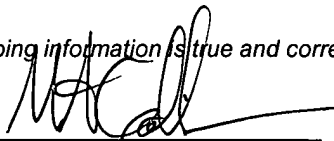
(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Michael A. Gollin, (Reg. 31,957)

Name of Person Signing



Signature

November 20, 2003

Date

Total number of pages including cover sheet, attachments, and documents: 1

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents & Trademarks, Box Assignments

Washington, D.C. 20231

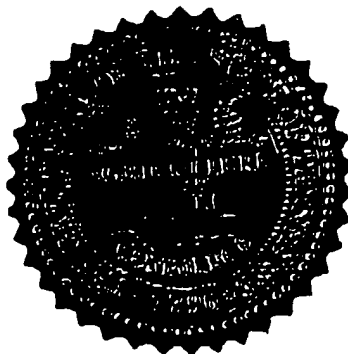
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NOV 25 2003

TECH CENTER 1600/2900



I, RILEY C. DARNELL, Secretary of State of the State of Tennessee, do hereby
certify that the Articles of Amendment to the Charter of
THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION
were filed in this office on April 3, 2003, changing the name to:
UNIVERSITY OF TENNESSEE RESEARCH FOUNDATION



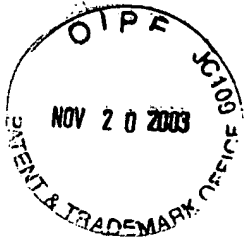
SS-4449

In Witness Whereof, I have hereto affixed my
signature and the Great Seal of the State, at
Nashville, this 14th day of May
In the year of our Lord two thousand three

Riley C. Darnell

Secretary of State

by Deborah S. Chaney



HONORABLE ASSISTANT COMMISSIONER
OF PATENTS
WASHINGTON, D.C. 20231

BOX ASSIGNMENT

Att'y Dkt. No. 31894-22402

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TECH CENTER 1001210

REQUEST FOR RECORDING AND COVER SHEET UNDER 37 C.F.R. §§ 3.28 AND 3.31

Please record the attached original document.

1. Name of parties conveying the interest:

Michael B. ZEMEL
Hang SHI
Paula CARNEY

2. Name and address of party receiving the interest:

The University of Tennessee Research Corporation
1534 White Avenue, Suite 403
Knoxville, Tennessee 37996-1527

3. Description of the interest conveyed or transaction to be recorded:

☒ [X] Assignment ☐ [] Other:

4. Application Number: 10/017,568

5. Address correspondence concerning this request to: VENABLE, P.O. Box 34385,
Washington, D.C. 20043-9998.

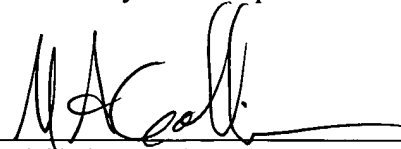
6. Number of Applications, Patents or Registrations and total fee:

Patents: 1 patent rights @ \$40 Total: \$ 40.00

7. Date of execution of document: March 22, 2002 (Michael B. ZEMEL and Hang SHI) and May 22, 2002
(Paula CARNEY)

Please charge any fee that may be deemed necessary to our Deposit Account No. 22-0261 accordingly, and notify the undersigned.

Date: November 20, 2003



Michael A. Gollin
Registration No. 31,957

ASSIGNMENT

WHEREAS, we, the undersigned, residing at the indicated addresses given below, respectively, have invented certain new and useful improvements in MATERIALS AND METHODS FOR THE TREATMENT OR PREVENTION OF OBESITY, for which an application for United States Letters Patent was

☐ signed by us as dated below.

☒ filed December 14, 2001, as Serial No. 10/017,568.

WHEREAS, THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION, a corporation of the State of Tennessee, having a place of business at 1534 White Avenue, Suite 403, Knoxville, TN 37996-1527, is desirous of acquiring the entire right, title, and interest in and to said invention and in and to any Letters Patent which may be granted therefor in the United States and in any and all foreign countries;

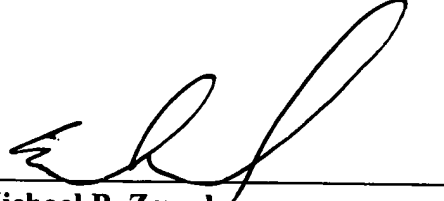
NOW, THEREFORE, in view of THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION's review and evaluation of my patent disclosure and other valuable consideration, receipt of which is hereby acknowledged, we, the undersigned, have sold, assigned, and transferred, and by these presents do sell, assign, and transfer, unto THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION, its successors and assigns, the full and exclusive right to the said invention in the United States and its territorial possessions and in all foreign countries and the entire right, title, and interest in and to any and all Letters Patent which may be granted therefor in the United States and its territorial possessions and in any and all foreign countries and in and to any and all divisions, reissues, continuations, and extensions thereof.

We hereby authorize and request the Patent Office Officials in the United States and in any and all foreign countries to issue any and all of said Letters Patent, when granted, to THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION, as the assignees of the entire right, title, and interest in and to the same, for the sole use and behoof of THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION, its successors and assigns.

FURTHER, We agree that we will communicate to THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION, or its representatives, any facts known to us respecting said invention; testify in any legal proceedings; sign all lawful papers; execute all divisional, continuation, substitution, renewal, and reissue applications; execute all necessary assignment papers to cause any and all of said Letters Patent to be issued to THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION; make all rightful oaths; and generally do everything possible to aid THE UNIVERSITY OF TENNESSEE RESEARCH CORPORATION, its successors and assigns, to obtain and enforce proper protection for said invention in the United States and in any and all foreign countries.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 22 day of March, 2002.

Signed



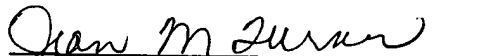
Michael B. Zemel

Address: 328 East Heritage Drive
Knoxville, TN 37922

State of Tennessee)

County of Knoxy)

On this 22nd day of March, 2002, personally appeared before me the above-named **MICHAEL B. ZEMEL**, to me known and known to me to be the person described in the foregoing instrument, who executed the foregoing instrument, and who severally acknowledged the same to be his free act and deed in and for the purposes set forth in said instrument.


Notary Public

My Commission Expires: March 6, 2005

SEAL

IN TESTIMONY WHEREOF, I have hereunto set my hand this 22 day of May, 2002.

Signed Paula Carney

Address: **Paula Carney**
11337 Gates Mill Drive
Knoxville, TN 37922

State of Tennessee)
County of Knox)

On this 22nd day of May, 2002, personally appeared before me the above-named **PAULA CARNEY**, to me known and known to me to be the person described in the foregoing instrument, who executed the foregoing instrument, and who severally acknowledged the same to be her free act and deed in and for the purposes set forth in said instrument.

David L. Moore
Notary Public

My Commission Expires: My commission expires May 23, 2003

SEAL

IN TESTIMONY WHEREOF, I have hereunto set my hand this 22 day of March, 2002.

Signed Hang Shi
Hang Shi

Address: 1611 Laurel Avenue, #712
Knoxville, TN 37916

State of Tennessee)
County of Knox)

On this 22nd day of March, 2002, personally appeared before me the above-named **HANG SHI**, to me known and known to me to be the person described in the foregoing instrument, who executed the foregoing instrument, and who severally acknowledged the same to be his free act and deed in and for the purposes set forth in said instrument.

Joan M. Turner
Notary Public

My Commission Expires: March 6, 2005

SEAL